

P24643.P01 <b>UTILITY PATENT APPLICATION TRANSMITTAL</b> (Only for new nonprovisional applications under 37 CFR 1.53(b))	Attorney Docket No.	P24643	Total Pages	
	Inventor(s) or Application Identifier: Osamu KANIE, and Chikako SAOTOME			
	Title: AZASUGAR COMPOUND			

ADDRESS TO:

Commissioner for Patents  
Mail Stop Patent Application  
PO Box 1450  
Alexandria, VA 22313-1450

APPLICATION ELEMENTS	ACCOMPANYING APPLICATION PARTS
1. <input checked="" type="checkbox"/> Fee Transmittal Form (Submit an original, and a duplicate for fee processing)  2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. a. <input type="checkbox"/> Small Entity Statement(s)  3. <input checked="" type="checkbox"/> Specification [Total Pages <u>41</u> ] (preferred arrangement set forth below) - Descriptive title of the Invention - Cross References to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure  4. <input checked="" type="checkbox"/> Drawing(s) (35 USC 113) [Total Sheets <u>7</u> ]  5. <input checked="" type="checkbox"/> Oath or Declaration [Total Pages <u>3</u> ] a. <input type="checkbox"/> Newly executed (original or copy) <input checked="" type="checkbox"/> Unexecuted b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 20 completed) [Note Box 6 below] i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).  6. <input type="checkbox"/> Incorporation By Reference (useable if Box 5b is checked) The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.  7. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76  8. <input type="checkbox"/> CD-Rom or CD-R in duplicate, large table or Computer Program ( <i>Appendix</i> )	9. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identity of above copies  10. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))  11. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney (when there is an assignee)  12. <input type="checkbox"/> English Translation Document (if applicable)  13. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations  14. <input checked="" type="checkbox"/> Preliminary Amendment  15. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)  16. <input type="checkbox"/> Figure of Drawing to be published____  17. <input checked="" type="checkbox"/> Foreign priority claimed a. <input checked="" type="checkbox"/> Claim of Priority b. <input type="checkbox"/> Certified Copy of Priority Document(s)  18. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.  19. <input checked="" type="checkbox"/> Assignee: <u>Mitsubishi Chemical Corporation, of Tokyo, Japan</u>  20. <input checked="" type="checkbox"/> Other: <u>Cover Letter Under 37 C.F.R. 1.53(b) and 1.53(f)</u>        

17497 U.S. PTO  
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120403

21. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 C.F.R. 1.76:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior Application No. PCT/JP02/05672, filed June 7, 2002.  
Prior application information: Examiner: \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

Address all future correspondence to **Customer No. 7055** at the present address of:

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Reston, VA 20191  
(703) 716-1191

Date

Signature

Bruce H. Bernstein, Reg. No. 29,027  
Typed or Printed Name

<div style="display: flex; justify-content: space-between;"> <div style="text-align: left;"> P24643.P02  13281  120403  U.S. PTO </div> <div style="text-align: center;"> <b>FEE TRANSMITTAL</b> </div> </div>		<b>Complete if Known</b>	
		Application Number	Not Yet Assigned
		Filing Date	Concurrently Herewith
		First Named Inventor	Osamu KANIE et al.
		Group Art Unit	Unassigned
		Examiner Name	Unassigned
TOTAL AMOUNT OF PAYMENT (\$) <b>770.00</b>		Attorney Docket Number P24643	

METHOD OF PAYMENT (check one)	FEE CALCULATION (continued)																																																																																																																																																																																																																																																																																																										
<p>1. <input checked="" type="checkbox"/> The U.S Patent and Trademark Office is hereby authorized to charge indicated fees and credit any overpayments to:</p> <p>Deposit Account Number <u>19-0089</u></p> <p>Deposit Account Name <u>GREENBLUM &amp; BERNSTEIN, P.L.C.</u></p> <div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17, including any required extension of time fees in any concurrent or future reply requiring a petition for extension of time for its timely submission (37 CFR 1.136(a)(3)) </div> <div style="width: 48%;"> <input type="checkbox"/> Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.311(b)   <input type="checkbox"/> Applicant Claims Small Entity Status See 37 CFR 1.27. </div> </div> <p>2. <input checked="" type="checkbox"/> Payment Enclosed:  <input checked="" type="checkbox"/> Check    <input type="checkbox"/> Credit Card    <input type="checkbox"/> Money Order    <input type="checkbox"/> Other</p> <p style="text-align: center;"><b>FEE CALCULATION (fees effective 10/01/03)</b></p> <p><b>1. FILING FEE</b></p> <table style="width:100%; border-collapse: collapse;"> <tr> <th>Large Fee Code</th> <th>Entity Fee (\$)</th> <th>Small Fee Code</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> <tr><td>1001</td><td>770</td><td>2001</td><td>385</td><td>Utility filing fee</td><td><u>770.00</u></td></tr> <tr><td>1002</td><td>340</td><td>2002</td><td>170</td><td>Design filing fee</td><td>_____</td></tr> <tr><td>1003</td><td>530</td><td>2003</td><td>265</td><td>Plant filing fee</td><td>_____</td></tr> <tr><td>1004</td><td>770</td><td>2004</td><td>385</td><td>Reissue filing fee</td><td>_____</td></tr> <tr><td>1005</td><td>160</td><td>2005</td><td>80</td><td>Provisional filing fee</td><td>_____</td></tr> <tr><td colspan="5"><b>SUBTOTAL (1)</b></td><td><b>(\$)<u>770.00</u></b></td></tr> </table> <p><b>2. CLAIMS</b></p> <table style="width:100%; border-collapse: collapse;"> <tr> <th>Total Claims</th> <th>Extra</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> <tr> <td>11 -20=</td> <td>0 x</td> <td>18</td> <td>0.00</td> </tr> <tr> <td>Independent 1 -3=</td> <td>0 x</td> <td>86</td> <td>0.00</td> </tr> <tr> <td>Multiple Dependent Claims</td> <td>0 x</td> <td>290</td> <td>0.00</td> </tr> </table> <table style="width:100%; border-collapse: collapse;"> <tr> <th>Large Fee Code</th> <th>Entity Fee (\$)</th> <th>Small Fee Code</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> <tr><td>1202</td><td>18</td><td>2202</td><td>9</td><td>Claims in excess of 20</td><td>_____</td></tr> <tr><td>1201</td><td>86</td><td>2201</td><td>43</td><td>Independent claims in excess of 3</td><td>_____</td></tr> <tr><td>1203</td><td>290</td><td>2203</td><td>145</td><td>Multiple dependent claim</td><td>_____</td></tr> <tr><td>1204</td><td>86</td><td>2204</td><td>43</td><td>Reissue independent claims over original patent</td><td>_____</td></tr> <tr><td>1205</td><td>18</td><td>2205</td><td>9</td><td>Reissue claims in excess of 20 and over original patent</td><td>_____</td></tr> <tr><td colspan="5"><b>SUBTOTAL (2)</b></td><td><b>(\$)<u>0.00</u></b></td></tr> </table>	Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	1001	770	2001	385	Utility filing fee	<u>770.00</u>	1002	340	2002	170	Design filing fee	_____	1003	530	2003	265	Plant filing fee	_____	1004	770	2004	385	Reissue filing fee	_____	1005	160	2005	80	Provisional filing fee	_____	<b>SUBTOTAL (1)</b>					<b>(\$)<u>770.00</u></b>	Total Claims	Extra	Fee from below	Fee Paid	11 -20=	0 x	18	0.00	Independent 1 -3=	0 x	86	0.00	Multiple Dependent Claims	0 x	290	0.00	Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	1202	18	2202	9	Claims in excess of 20	_____	1201	86	2201	43	Independent claims in excess of 3	_____	1203	290	2203	145	Multiple dependent claim	_____	1204	86	2204	43	Reissue independent claims over original patent	_____	1205	18	2205	9	Reissue claims in excess of 20 and over original patent	_____	<b>SUBTOTAL (2)</b>					<b>(\$)<u>0.00</u></b>	<p><b>3. 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late filing fee or oath	_____	1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.	_____	1053	130	1053	130	Non-English specification	_____	1812	2,520	1812	2,520	For filing a request for reexamination	_____	1804	920*	1804	920*	Requesting publication of SIR	_____	Prior to Examiner action					_____	1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	_____	1251	110	2251	55	Extension for response within 1st month	_____	1252	420	2252	210	Extension for response within 2nd month	_____	1253	950	2253	475	Extension for response within 3rd month	_____	1254	1,480	2254	740	Extension for response within 4th month	_____	1255	2,010	2255	1,005	Extension for response within 5th month	_____	1401	330	2401	165	Notice of Appeal	_____	1402	330	2402	165	Filing a brief in support of an appeal	_____	1403	290	2403	145	Request for oral hearing	_____	1451	1,510	1451	1,510	Petition to institute a public use proceeding	_____	1452	110	2452	55	Petition to revive unavoidably abandoned application	_____	1453	1,330	2453	665	Petition to revive unintentionally abandoned application	_____	1501	1,330	2501	665	Utility issue fee (or reissue)	_____	1502	480	2502	240	Design issue fee	_____	1503	640	2503	320	Plant issue fee	_____	1460	130	1460	130	Petitions to the Commissioner	_____	1807	50	1807	50	Petitions related to provisional applications	_____	1806	180	1806	180	Submission of IDS	_____	8021	40	8021	40	Recording each patent assignment per property (times number of properties)	_____	1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	_____	1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	_____	1801	770	2801	385	Request for Continued Examination (RCE)	_____	1802	900	1802	900	Request for expedited examination of a design application	_____	Other fee (specify) _____					_____	Other fee (specify) _____					_____	<b>SUBTOTAL (3)</b>					<b>(\$)<u>0.00</u></b>
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8021	40	8021	40	Recording each patent assignment per property (times number of properties)	_____																																																																																																																																																																																																																																																																																																						
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	_____																																																																																																																																																																																																																																																																																																						
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	_____																																																																																																																																																																																																																																																																																																						
1801	770	2801	385	Request for Continued Examination (RCE)	_____																																																																																																																																																																																																																																																																																																						
1802	900	1802	900	Request for expedited examination of a design application	_____																																																																																																																																																																																																																																																																																																						
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<b>SUBMITTED BY</b>		<b>Complete (if applicable)</b>	
Typed or Printed Name	Bruce H. Bernstein	Reg. Number	29,027
Signature	<i>Bernstein</i>	Date	12/4/03
		Deposit Account User ID	

33,329

P24643.P03

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Osamu KANIE et al.

Serial No : Not Yet Assigned  
(Continuation-in-part of International Application No. PCT/JP02/05672)

Filed : Concurrently Herewith

For : AZASUGAR COMPOUND

**COVER LETTER ACCOMPANYING U.S. PATENT APPLICATION  
FILED UNDER 37 C.F.R. 1.53(b) and 1.53(f)**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Sir:

Enclosed is a new patent application for filing in the U.S. Patent and Trademark Office under 37 C.F.R. 1.53(b) and 1.53(f) in which the Declaration and Power of Attorney attached thereto are in unexecuted form. A properly executed Declaration and Power of Attorney will be filed within the time period set forth in the Notice to File Missing Parts of Application, unless such time period has been extended by the filing of a petition accompanied by the extension fee under the provisions of 37 C.F.R. 1.136(a).

Related to the above, this application should be associated with Customer Number 7055, which includes the present correspondence address as follows:


GREENBLUM & BERNSTEIN, P.L.C.  
1950 Roland Clarke Place  
Reston, Va. 20191

The above-identified application includes:

- 41 pages of specification (including abstract).
- 7 sheets of drawings with 7 figures.
- an unexecuted Declaration and Power of Attorney.
- 11 total claims with 1 independent.

If there are any questions, please contact the undersigned at the below-listed telephone number.

Respectfully submitted,  
Osamu KANIE et al.

  
Bruce H. Bernstein  
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*May 10*  
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December 3, 2003  
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